

#17

**PATENT**  
**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re application of:

Robert K. Rowe et al.

Serial No.: 09/415,594

Examiner: B. Werner

Filed: October 8, 1999

Group Art Unit: 2621

For: **APPARATUS AND METHOD FOR IDENTIFICATION OF INDIVIDUALS BY  
NEAR-INFRARED SPECTRUM**

Docket No.: 1171.1101101 (formerly 1023.1110101)

Assistant Commissioner for Patents  
Washington, D.C. 20231

**RECEIVED**

**SEP 26 2002**

**Technology Center 2600**

**INFORMATION DISCLOSURE STATEMENT  
BEFORE  
MAILING DATE OF EITHER A FINAL ACTION OR NOTICE  
OF ALLOWANCE (37 CFR 1.97(c))**

**CERTIFICATE UNDER 37 C.F.R. 1.8:** I hereby certify that this correspondence is being deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to the: Assistant Commissioner for Patents, Washington, D.C. 20231, on this 17th day of September, 2002.

By

David M. Crompton

Dear Sir:

Pursuant to the obligations of candor and good faith imposed by 37 C.F.R. 1.56, the documents listed on the attached PTO-1449 are hereby disclosed.

No representation is intended to be made hereby that any of the cited references establishes by itself or in combination with other information, a prima facie case of unpatentability of any claim of the present case.

The information disclosure statement transmitted herewith is being filed after three months of the filing date of this national application or the date of entry of the national stage as set forth in Section 1.491 in an international application or after the mailing date of the first Office Action on the merits, whichever event occurred last but before the mailing date of either a final action under Section 1.113 or a notice of allowance under Section 1.311, whichever occurs first.

Accompanying this transmittal are fees in the amount of \$180.

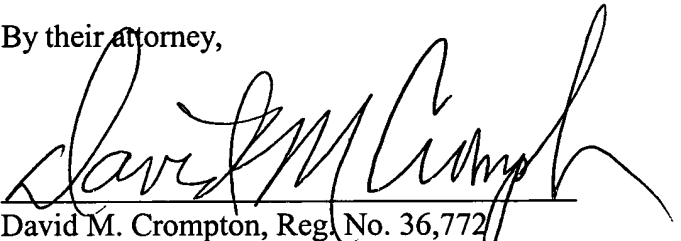
Respectfully submitted,

Robert K. Rowe et al.

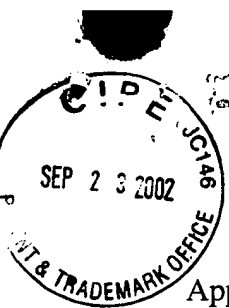
By their attorney,

Dated: \_\_\_\_\_

9/17/02



David M. Crompton, Reg. No. 36,772  
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GP/2621

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Applicant: Robert K. Rowe et al.

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**TRANSMITTAL SHEET**

Assistant Commissioner for Patents  
Washington, D.C. 20231

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SEP 26 2002  
Technology Center 2600

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By

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We are transmitting herewith the attached:

☐ Amendment

☐ No additional fee required

☐ The fee has been calculated as shown:

CLAIMS AS AMENDED							
	(3)	(4)	(5)	SMALL ENTITY		OTHER	
	REMAINING CLAIMS	HIGHEST PAID	EXTRA	RATE	ADD'L FEE	RATE	ADD'L FEE
TOTAL CLAIMS	-	=		X9=	\$	X18=	\$
INDEPENDENT CLAIMS	-	=		X40=	\$	X80=	\$
( ) FIRST MULTIPLE DEPENDENT CLAIM				+135=	\$	+270=	\$
TOTAL				\$		\$	

- [ XX ] A check in the amount of \$180.00 (Fee Code 126) is enclosed.
- [ ] Small entity status of this application under 37 C.F.R. 1.9 and 1.27 has been established by verified statement previously submitted.
- [ XX ] Other: INFORMATION DISCLOSURE STATEMENT BEFORE MAILING DATE OF EITHER A FINAL ACTION OR NOTICE OF ALLOWANCE (37 CFR 1.97(c)), FORM PTO-1449 AND CITED REFERENCES.
- [XXXX] Please charge any deficiencies or credit any overpayment in the enclosed fees to Deposit Account No. 50-0413.

By:

  
David M. Crompton

Reg. No. 36,772

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